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## **I. INTRODUCTION**

State service employees are a valuable resource, providing efficient and effective service. In order to be successful on the job, employees need to know what job performance standards they are expected to meet. The State of Arizona has developed Performance Appraisal for State Employees (PASE) to communicate job expectations and evaluate employee job performance.

PASE complies with the Arizona Department of Administration (ADOA) Personnel Rule R2-5-503, Performance Appraisal System, which states, "The [ADOA] Director shall establish a performance appraisal system to evaluate the job performance of all state service employees. An agency head may adopt an alternate employee performance appraisal system, subject to the approval of the [ADOA] Director."

All state service employee performance appraisal systems must utilize a five-point rating scale as follows:

- |   |   |                      |
|---|---|----------------------|
| 5 | = | Exceptional          |
| 4 | = | Exceeds Expectations |
| 3 | = | Meets Expectations   |
| 2 | = | Below Expectations   |
| 1 | = | Unacceptable         |

## **II. PURPOSE**

This manual will provide supervisors and employees a clear understanding of the appraisal process by which they will evaluate and be evaluated.

The goals of PASE are:

- To improve employees' understanding of their assignments, the established standards for performance, and their progress in meeting the standards;
- To encourage employee development for better job performance;
- To assist in identifying training needs; and,
- To ensure objectivity, consistency and fairness in appraising employees.

### III. DEFINITIONS

Appraisal: The process of evaluating an employee's performance.

Appraisal Year: The period during which an employee is evaluated, usually May 1 of the calendar year through the April 30 of the following calendar year. Performance evaluations and performance plans are typically completed and discussed with the employee during May. **Note**: The rating periods may be adjusted to coincide with merit increases appropriated by the Legislature.

Close-Out: An evaluation required when a status change occurs and more than two months have passed since the employee's last performance appraisal. Status changes include transfer, promotion, demotion, special detail, mobility assignment, or separation (from state service) of either the employee or the supervisor. Note: a close-out is not administered to dismissed employees.

Mid-Point Discussion: An informational discussion between the Rater and Employee about the Employee's performance, normally October 31 of each year. Probationary employees are evaluated at the mid-point of the probationary period.

Performance Appraisal Score Form: The form used by the Rater for recording the Employee's performance, ratings and weightings from the Performance Standards forms.

Performance Category: Selected by the Rater, the knowledge, skills, and abilities required to perform in the position. Standardized categories include: Work Habits, Clerical/Administrative Support, Customer Service, and Supervision. Custom Performance Categories may be developed.

Performance Category Elements: Sub-items within each Performance Category which are weighted and rated.

Performance Standards Form: The form used to record weighting, rating, and comments.

Rater: The person responsible for evaluating the employee's performance, generally the employee's first-line supervisor. In the event a rater is not available to complete an employee's appraisal, the employee's second-line supervisor should complete the evaluation.

Rating: The numerical value of the employee's performance in each Performance Category and, within each Category, each Performance Category Element selected by the Rater. Numerical rating values range from 1, Unacceptable, to 5, Exceptional.

Rating Period Score: The weighted average of all Performance Category ratings received during the specified rating period.

Reviewer: The person responsible for reviewing the Rater's recommended evaluation of an employee, generally the employee's second-line supervisor.

Verification Method: The methods selected and used by the Rater to collect data and evaluate the Employee's performance.

Weight: The relative importance, designated by percentage, of each Performance Category and, within each Category, each Performance Category Element.

### IV. PASE OVERVIEW

PASE is designed to be flexible in order to meet specific agency needs. The key concept of PASE is that employees earn the level of performance rating based on pre-determined job performance standards. As provided by the Personnel Rules, variations of evaluation methods may occur with approval from the Arizona Department of Administration.

PASE includes two ways of rating job performance: (1) the checklist (standardized and/or custom) evaluation method; and/or, (2) the goals and objectives evaluation method. These may be used individually or combined and applied to rate either individual or team performance. The evaluation forms are designed to record planned job performance standards, observed work activities and earned ratings. Separate forms are available to plan professional development and to provide notice of the need to improve job performance.

In the PASE process, the Rater selects, applicable to the work being performed: (1) the performance category(ies) on which the employee will be evaluated, (2) for each performance category selected, performance standard elements, and (3) the appropriate weights for each performance category and each performance standard element within each category.

Each employee is rated on a 5-point rating scale in accordance with the universal rating scale established by the Arizona Department of Administration. Each probationary employee is evaluated twice during the probationary period, typically at the mid-point of the probationary period and one month prior to the end of his/her probation. Each Permanent Status employee is evaluated on an annual basis effective April 30 of each year. During the year, the employee receives an informal six-month review, effective October 31, indicating performance progress. However, rating periods may be adjusted to coincide with merit increases appropriated by the Legislature.

The job performance evaluation and ratings may influence various personnel actions such as transfers, promotions, performance pay or merit increases, and reductions in force. Due to this impact, employees at all levels should be aware of job expectations. Regular feedback and performance evaluations help employees achieve recognition and grow professionally. The time spent planning, communicating and documenting job performance is an investment in the development of the State's greatest resource - state service employees.

## V. OUTLINE OF PASE ADMINISTRATIVE PROCESS

The appraisal process can be summarized using the initials of the system as follows:

### Plan - Advise - Support - Evaluate

The performance appraisal cycle begins by **p**lanning how the job performance will be evaluated. Then the supervisor **a**dvises the employee of the method of evaluation and job performance expectations for the rating period. Various feedback techniques including formal documentation may be used to **s**upport the employee in achieving improved performance or continuing positive work activities. At the end of the rating period, the supporting documentation is reviewed to **e**valuate how effectively the employee met the job performance standards.

1. **PLAN** – Job expectations are outlined for each employee by defining job performance standards. The standards are set by Raters (supervisors) and/or Reviewers (managers or other agency specified persons) and may be based on agency goals, legal requirements, customer service expectations, etc. The job performance plan should be developed and administered within 30 calendar days of the employee's hire, transfer, supervisor change or start of planning period.

#### Responsible Party

#### Action

Rater

Discuss mission statements, the Position Description Questionnaire (PDQ), work outline, job requirements, etc. with employee.

Identify the key responsibilities of the position as the basis for evaluation, determine applicable performance categories (standardized checklists, custom checklists, goals & objectives, a combination of methods, or an agency-specific method), and within each performance category selected, performance category elements on which the employee will be evaluated (see pp. 8-9 for more information).

Develop additional performance category guidelines as necessary and obtain approval from agency Human Resources/Personnel Office.

Determine the weights of each performance category, the weight of each performance standard element within each category, and the verification method(s) for each performance standard element.

Reviewer

Review the above determinations with the Rater.

2. **ADVISE** – Communication of job performance expectations is essential to achieving organizational goals. Formal feedback concerning job performance encourages continuous improvement. The Rater is responsible for initiating these discussions.

<u>Responsible Party</u>	<u>Action</u>
Rater	Review and discuss the approved performance categories, performance category elements, data collection methods, and performance level verification methods, etc. with the Employee. Make modifications to the plan as appropriate and with Reviewer approval.
Employee	Acknowledge receipt of the performance planning document by signing and dating the "Performance Plan Employee Acknowledgement" portion of each performance standards form.
Rater	<p>Meet with the Employee at mid-period* to provide formal feedback on job performance. Discuss progress in meeting expected levels of performance as defined in the program plan. Document job performance achievements and issues in the "Rater Comments" section(s).</p> <p>*Mid-period discussions are required for Original Probationary (OP) employees and should be conducted at the mid-point of the probationary period. Mid-period discussions are optional for Permanent Status (PS) employees. During the mid-period discussion, numerical ratings are not assigned and a Performance Appraisal Score Form is not completed.</p>
Employee	Acknowledge the mid-period discussion was held by signing and dating the "Mid-period Discussion Employee Acknowledgement" portion of each performance standards form. The employee may enter comments concerning the mid-period discussion in the "Employee Comments" section(s).
Rater	Provide feedback to the Employee throughout the rating period to allow maximum achievement of performance standards and employee goals.

3. SUPPORT - Formal guidance and feedback and, if necessary, notification of below standard performance, is generally provided prior to the end of the rating period. Documentation of job performance activities occurs throughout the rating period. The Employee, Rater, Reviewer or any other person knowledgeable about the job performance expectations or job performance may provide supporting documents. The Employee may also initiate communication about performance documentation. The Rater (supervisor) and the Employee may also choose to discuss career planning. The optional Professional Development Plan form (See Appendix A-4) was developed to facilitate a career planning discussion. The Professional Development Plan form, if used, should not be placed in the Employee's official personnel file.

Responsible Party

Action

Rater

Communicate information about quality of work performance through informal and formal discussions, memos, letters, awards or certifications at any time during the rating period. These types of documents may describe commendable performance or areas of concern.

If job performance falls below expectations for any key element or responsibility category, discuss with the Employee. As appropriate, complete the Notice of Necessity to Improve form (See p. 16 and Appendix A-5). Discuss the details with the Employee, describing specific area(s) needing improvement. List the steps necessary to achieve the expected performance level. Record the timeframe in which the improvement action steps are required to occur. Review improvement progress with the Employee on a regular basis. Mark the outcome at the bottom of the notice at the end of the established improvement time frame and discuss with the Employee.

4. EVALUATE - Measurement of job performance achievements shows how well job performance expectations were met. A rating is assigned to assist in distribution of merit increases. Evaluation of job performance is the responsibility of the Rater and the Reviewer.

Responsible Party

Action

Rater

Review documentation collected during the rating period. Compare the data against the performance standards established in the plan. Complete the PASE Performance Standards forms by assigning the appropriate numerical rating (whole numbers only, 1-5; see Rating Scale, p. 11) for each responsibility, element or category of elements. Calculate each Category Rating by averaging or, if the elements have been assigned different weights, use the weighted average (see pp. 9-10). Round the Category Rating to two decimal places.

Complete the Performance Appraisal Score Form, rounding calculations to two decimal places.

If there are any ratings below "Meets Expectations", a "Notice of Necessity to Improve" or some other comparable performance improvement plan, such as a Corrective Action Plan, should be developed. Consult with agency Human Resources/Personnel Office.

Prior to administering the PASE to the employee, submit the Employee's Performance Appraisal Score Form, applicable Performance Standards forms, and supporting documentation to the agency-specified Reviewer.



Reviewer	<p>The Reviewer should review the ratings and comments prior to the appraisal being administered to the employee. The agency-specified Reviewer should check to see that the evaluation timelines and procedures have been followed, that the documentation supports the ratings, and that the ratings have been applied equitably between employees.</p> <p>The Reviewer and Rater should discuss the information presented in the evaluation. The Reviewer has the authority to change ratings and/or comments.</p> <p>Generally, the Reviewer does not sign the evaluation until after it has been presented to and signed by the employee. However, an agency may instead elect to establish internal processing procedures which require either: (1) the Reviewer to initial or sign the evaluation to acknowledge he/she has reviewed the evaluation with the Rater and also sign the evaluation after it has been administered to and signed by the employee; or (2) the Reviewer's signature at the time the Rater and Reviewer meet to discuss the evaluation (instead of after the evaluation has been signed by the employee).</p>
Rater	<p>Discuss the ratings and comments with the Employee following the Reviewer's approval. Request the Employee sign and date the appraisal acknowledgement portion of the performance standards and Performance Appraisal Score forms.</p>
Employee	<p>Acknowledge the performance appraisal was held by signing and dating the "Performance Appraisal Employee Acknowledgement" portion of each performance standards form. The Employee may enter comments concerning the performance appraisal in the "Employee Comments" section(s).</p>
Rater	<p>Obtain the Reviewer's signature on the rating forms. Provide a copy of the performance appraisal to the Employee. If applicable, advise the Employee of the performance appraisal grievance procedures. Forward the original of the evaluation, through appropriate channels as designated by the agency, to the agency Human Resources/Personnel Office for processing and placement in the Employee's official personnel file.</p>

## **VI. PERFORMANCE CATEGORIES, PERFORMANCE STANDARDS, AND WEIGHTING**

The following steps should be carried out at the beginning of the rating period but no later than 30 calendar days from the employee's hire date or last evaluation. Though agreement between the rater and employee in this process is highly desirable, it is not mandatory. However, the employee should understand: (1) the tasks s/he is expected to carry out during the rating period, (2) the performance categories and elements which relate to these tasks, (3) the importance of each task in relation to other tasks, and (4) the method(s) that will be used to verify the level of performance.

It is important that performance categories, category elements, verification methods, and weighting be consistent for employees doing similar work unless experience on the job or working conditions warrant differences in these determinations. The agency head may establish procedures to ensure this consistency.

### **A. PERFORMANCE CATEGORIES**

PASE was designed to be extremely flexible in order to meet specific agency needs. Agencies may elect to use either standardized checklists, customize their own checklists, and/or use the goals and objective evaluation method. Further, these may be used individually or combined and applied to rate either individual or team performance. Thus, an employee's performance appraisal packet may consist of:

- One or more checklists, either standardized or custom;
- One or more Goals & Objectives Performance Standards form(s); OR,
- Any combination of the options listed above.

#### Standardized Checklist Performance Standards form

Standardized checklist forms have been developed for the following performance categories:

- Work Habits
- Clerical/Administrative Support
- Customer Service
- Supervision

Depending upon the agency's performance appraisal procedure/guidelines and the position, supervisors may use none, one, or a combination of the standardized checklists.

#### Custom Checklist Performance Standards form

Agencies may develop custom checklists either in conjunction with or in place of the standardized checklists. If custom checklists are established, the agency Human Resources/Personnel Office should be contacted for assistance and approval prior to development.

#### Goals and Objectives Performance Standards form

The Goals and Objectives method is especially suitable for measuring performance of administrative, professional, supervisory, or managerial jobs.

*Examples:*

- *A Clerk/Typist might be evaluated using the standardized Work Habits, Clerical/Administrative Support, and Customer Service Checklist Performance Standards forms.*
- *An Accountant might be evaluated using the standardized Work Habits Checklist Performance Standards form and a customized checklist that has been developed for "Fiscal and Budget."*
- *A middle manager might be evaluated using the standardized Supervision Checklist Performance Standards form and two Goals and Objectives Performance Standards forms.*

## **B. PERFORMANCE CATEGORY ELEMENTS**

For each Performance Category selected, identify the Performance Category Elements that are most critical or represent the major part of the employee's job during the appraisal period as the basis for appraisal. The best sources for information for this selection are the strategic plan objectives, team objectives, the PDQ, and/or a task analysis of the employee's or team member's job. There is no minimum or maximum number of items you may include. Generally, eight or less should be sufficient. Carefully assess the items you have selected to ensure they represent the critical elements of the job and that there is no redundancy among items. Select one or more of the categories of elements provided in the package and check the items that are appropriate or use the blank form to list the tasks.

## **C. VERIFICATION METHODS**

It is just as important for you to establish a practical method to gather the appraisal data throughout the appraisal period as it is for you to develop clear performance expectations. Ensure that you have formed a strategy early in the performance planning process. Use percentages to describe the levels of performance (e.g., "the error rate is 10-12%") only when you can easily verify the total volume of work or you can use a reasonable method of inferring the percentage from a sample of the work.

Verification methods may include, but are not limited to the following:

Observation	Feedback
Random Sampling	Compare Standards vs. Results
Spot Checks	Budget vs. Expenditures
Listening	Sign Off
Customer Surveys	Co-Worker Feedback
Periodical Reports	Inspection
Inventory vs. Use History	Revenue Generation

## **D. WEIGHTING (W)**

There are two ways you can weight Performance Standard Element items on this form. You can assign weights to each item, ensuring the total of all the items adds up to 1.0 (100%).

For example, the Performance Category contains four Performance Standard Element items. If each is considered equal, each item has a weight of one-fourth of one (25%). You could assign .25 for each item but it is not necessary. By leaving the “W” and “WR” columns blank, you are indicating all of the items have equal weight and equal 1.0 for the Performance Category.

Note that in both examples the Category's Rating result is the same because the items are equal.

Perf. Stand. Elements	D	W	R	WR
1.			4.5	
2.			4.6	
3.			4.8	
4.			4.4	

$$18.3 \div 4 =$$

**Category Rating 4.58**

Perf. Stand. Elements	D	W	R	WR
1.		.25	4.5	1.13
2.		.25	4.6	1.15
3.		.25	4.8	1.20
4.		.25	4.4	1.10

$$[1.0]$$

**Category Rating 4.58**

If the Performance Standard Elements items differ in importance, however, individual weights must be assigned. The total of the items must add up to 1.0 (100%) in the **W** (Weight) column of the form. See example below:

Perf. Stand. Element	D	W	R	WR
1.		.30	4.5	1.35
2.		.20	4.6	.92
3.		.20	4.8	.96
4.		.30	4.4	1.32

$$[1.0]$$

**Category Rating 4.55**

Category Weights can be assigned in the same manner as the Performance Standard Elements. If the Category Weights are equal, you do not have to assign individual Category Weights. For example, the appraisal contains five Performance Categories (i.e., Work Habits, Clerical/Administrative Support, Customer Service, Program Management, and Supervision). If each category is considered equal, each one has a weight of one-fifth, or 20% (.20). You could assign .20 in the Category Weight box of each form but it is not necessary. By leaving the Category Weight boxes blank, you are indicating all have equal weight. The final score is calculated by dividing the total of the ratings column by the number of elements or categories scored.

However, if Category Weights differ, individual weights must be assigned. The total of the items must add up to 1.0 (100%) in the Weight column of the State of Arizona Universal Performance Appraisal. For more specific information on calculating weights, contact the agency Human Resources/Personnel office.

## VII. THE RATING SCALE AND DISTINGUISHING BETWEEN PERFORMANCE LEVELS

### A. RATING (R)

Each employee shall be rated, from Unacceptable to Exceptional Performance, on a 1 – 5 rating scale, as follows:

<u>Rating</u>	<u>Word Anchor</u>	<u>Definition</u>
5*	Exceptional	Reserved for a level of activity that is <i>consistently</i> superior.
4	Exceeds Expectations	A level of activity that is <i>sometimes</i> superior and consistently meets expectations.
3	Meets Expectations	The range that <i>represents the employee's fair share of the work or a reasonable level of conduct</i> by the employee. It is appropriate to establish the "Meets Expectations" range with some latitude for the employee to sometimes exceed or sometimes fall slightly below expectations.
2*	Below Expectations	The level that, <i>with a reasonable degree of short-term remedial intervention</i> , performance <i>can be brought up</i> to the appropriate level.
1*	Unacceptable	The level that <i>constitutes consistently or excessively poor</i> performance.

\*Performance Category ratings of 1 – Unacceptable, 2 – Below Expectations, or 5 – Exceptional should be justified by supporting comments in the "Rater's Comments" section of the form or by another method. Examples of other methods might be assignment tracking reports or statistical reports. Raters are encouraged to describe an employee's duties and manner of performance for ratings of 3 – Meets Expectations or 4 – Exceeds Expectations.

### B. DEFINING AND DISTINGUISHING BETWEEN PERFORMANCE LEVELS

Clear performance expectations should be established and defined early in the performance planning process.

Note several important points about these methods for defining performance expectations:

- It is important to define the ground rules for achieving each of the potential ratings. If you use quantified definitions, use ranges to provide a zone for the performance level. You can avoid hairsplitting by having clearly stated ranges, with no overlap between ranges at the different performance levels.
- The performance level established for the position should be attainable and measure factors which are within the control of the position. For example, if employees have

no control over the number of items received but do have control over the number filed, the performance level should relate to the number filed.

- There should be a definition of the behaviors or performance standards required to exceed expectations. If you set a "meets expectations" performance level at 100%, there is no way for the employee to exceed the standard. Do not set the "meets expectation" level definition at 100% unless you truly cannot accept anything less than 100% (such as in the case of medical procedures that would result in death if the employee did not administer them correctly 100% of the time). In this example, "exceptional" could then be defined as providing extra assistance or going out of the way to provide assistance.
- Define terms, when necessary. Avoid words like "normally," "adequate," or "excessive." These do not have universal meanings. Descriptions such as "usual method" or "according to procedure" are acceptable if everyone understands the source that defines the meaning or you have cited the source in the performance definition.

Expectations may be more clearly defined in several ways:

1. By attaching examples of behaviors that would be characteristic of each performance level. For example, for the performance element "Completed typing or data input timely and within error levels," and using a five point rating scale:

#### Rating

#### Possible Rating Guidelines

5 – Exceptional:

Not only types items within the expected 8 hour turnaround, but proofs the items for grammatical mistakes and makes constructive suggestions to the author when correcting drafts; highlights the changes made on the original so the author can easily proof the changes; has eliminated the need for others to quality control the work because the work has been carefully proofed independently; independently prioritizes items to ensure all critical items get done.

4 – Exceeds Expectations:

Types items within the expected turnaround; corrects all mistakes within one draft; this rating differs from the rating of exceptional in that the individual is not constantly eliminating the need for others to quality control their work and does not completely independently prioritize items to ensure all critical items are completed.

3 - Meets Expectations:

Types items within the expected turnaround; corrects mistakes within two drafts; has reduced the need for others to quality control no more than a periodic sample of the work because of the level of proofing exercised independently; needs the help of the supervisor to

prioritize items when workload increases.

2 - Needs Improvement: Still has errors in the second draft; has to be reminded that critical items are waiting to be worked on; ignores typing in lieu of less important tasks.

1 – Unacceptable: Fails to get critical work done even after being reminded; still has errors in the third draft; work has to be farmed out more than once to other staff to get the work done timely; keeps making the same error(s) over and over.

2. By attaching a definition of the performance rating levels that relates collectively to the items in the category. For example, for a five point scale:

Performance is **Exceptional** if no more than 2-3 incidents occur for the **category's** items.

Performance **Exceeds Expectations** if 4 to 5 incidents occur for the **category's** items.

Performance **Meets Expectations** if 6 to 10 incidents occur for the **category's** items.

Performance **Needs Improvement** if 11-15 incidents occur for the **category's** items.

Performance is **Unacceptable** if more than 15 incidents occur for the **category's** items.

3. By attaching measurable definitions of the performance levels. For example, for the performance element "Completed typing or data input timely and within acceptable error levels," and using a five point rating scale:

Performance is:

**5 - Exceptional** if typing is completed within an average of 1-2 work hours of receipt.

**4 - Exceeds Expectations** if typing is completed within an average of 3-5 work hours of receipt.

**3 - Meets Expectations** if typing is completed within an average of 6-8 work hours of receipt.

**2 - Needs Improvement** if typing is completed within an average of 9-16 work hours of receipt.

**1 - Unacceptable** if typing is completed within an average of more than 16 work hours of receipt.

## **VIII. RATING PERIODS, PROBATIONARY EMPLOYEES, AND SPECIAL CIRCUMSTANCES**

ADOA Personnel Rule R2-5-503.B. requires that a permanent status employee be evaluated at least annually and a probationary status employee be evaluated at least twice during the rating period.

### **A. PASE RATING PERIODS**

The Arizona Department of Administration has determined that the established annual rating period is from May 1 of the calendar year through April 30 of the following calendar year. This rating period was selected to assist in determining budget issues based on a fiscal year calendar.

Performance evaluations and performance plans are typically completed and discussed with the employee during May.

The mid-period review, which is optional for Permanent Status employees, typically should occur in October (six months from May 1) for employees on a May 1 through April 30 annual review cycle. During the mid-period discussion, numerical ratings are not assigned and a Performance Appraisal Score Form is not completed.

**NOTE: There may be exceptions to the May 1 through April 30 review cycle.** These exceptions include, but are not limited to:

- (1) With ADOA approval, an agency may modify the annual rating period for its agency employees, for example, from July 1 to June 30 of the following year, or may base the annual rating period on the employee's anniversary date; and,
- (2) The rating periods may be adjusted to coincide with merit increases appropriated by the Legislature. Notice will be provided by the ADOA Human Resources Division should an off-cycle review be required.

### **B. PROBATIONARY EMPLOYEES**

Probationary-status employees are evaluated twice prior to achieving permanent status, normally at the mid-point of the probationary period and one month prior to the end of the probation. This rating period is based on the employee's date of appointment to the position and generally does not coincide with the established annual rating period.

For probationary employees, the PASE evaluation is due to the Human Resources/Personnel Office 15 days prior to the end of the probationary rating period. The "Grant Permanent Status" box on the PASE Performance Appraisal Score form records the supervisor's recommendation. **NOTE:** If the evaluation is not received at least 15 days prior to the expiration of the probationary period, written justification for a period of less than 15 days should be provided. If no action is taken by the agency before the expiration of the employee's probationary period, the employee is awarded permanent status under the personnel rules (ADOA Personnel Rule R2-5- 213, Probation).

The PASE appraisal cycle begins again following successful completion of the probationary period and the employee's appraisal cycle is merged into the established rating period. An example follows.



*Example: In the example provided below, an employee is hired on October 3; placed on a six month probation; and the agency is on the May 1 through April 30 annual review cycle:*

<i>Employee Hire Date:</i>	<i>October 3</i>
<i>Performance Plan:</i>	<i>October 3-November 3 (within 30 days of hire)</i>
<i>Mid-period Discussion:</i>	<i>January 3 (mid-point of six-month probation)</i>
<i>Appraisal (End of Probation):</i>	<i>March 3 (one month prior to end of probation)</i>
<i>Submit to Personnel Office:</i>	<i>No later than March 18 (15 days prior to the end of the probation rating period)</i>
<i>Permanent Status:</i>	<i>April 3</i>
<i>Annual Rating:</i>	<i>April 30 (in this example, the End of Probation appraisal may serve as the annual rating because it was held within 60 days* of the Annual Rating date)</i>
<i>Performance Plan:</i>	<i>May 1 – May 31 (Rating Period May 1 – April 30)</i>
<i>Mid-period Discussion:</i>	<i>October 31 (optional)</i>

*\*If an employee has received an evaluation within the past 60 days, the supervisor may carry that score forward by completing a score form indicating that the last evaluation was within 60 days (see pp. 16-17 for more information on the 60-day “window”).*

## **C. SPECIAL CIRCUMSTANCES**

### Close-out: Employee Status Change

Complete an evaluation when an employee vacates a position due to actions such as: transfer, promotion, detail to special duty, return from detail to special duty, voluntary grade decrease, demotion, or voluntarily leaves state service. [NOTE: Close-out appraisals are not administered to Original Probationary employees or to employees who are dismissed.] In the “Appraisal Type” section of the Performance Appraisal Score Form, place a checkmark (✓) or an “X” in the box marked “Close-out.” If the employee remains in state service, this rating will be combined with future ratings during the period for the employee’s annual rating. If the employee leaves state service, the rating will serve as documentation of job performance for reinstatement purposes.

### Close-out: Supervisor Status Change

Complete an evaluation on each employee prior to leaving the supervisor position. In the “Appraisal Type” section of the Performance Appraisal Score Form, place a checkmark (✓) or an “X” in the box marked “Close-out.” This rating will be combined with future ratings during the period for the employee’s annual rating. The closeout rating may serve as the Annual or End of Probation rating if completed within 60 calendar days of the required rating.

### Job Assignment or Performance Standards Change

On occasion, there may be a significant change in an Employee’s job assignment, even if the Employee has not changed positions. If this should occur, the Rater should apply the PASE

procedures, adjusting any Performance Categories, Category Elements, and weights as necessary. The Rater shall meet with the Employee to discuss the modifications. If the Employee has not been evaluated within the last two months, a Close-out shall be done.

#### Extensions of Probation/Reversion

If an extension of probation or reversion is being considered, the agency Human Resources/Personnel office should be consulted.

#### Notice of Necessity to Improve

A "Notice of Necessity to Improve" (NNI) may be issued by the Rater at any time during the rating period if job performance falls below expectations. The Rater completes the NNI form by recording the specific areas in which improvement is needed, the action steps required, and time frames in which performance is expected to improve. After discussing with the Reviewer, the Rater then discusses the NNI with the employee. The employee signs the form acknowledging that performance expectations have been reviewed. The Rater then monitors the employee's progress during the NNI period and records the results at the end of the established time frame. Both the Rater and the employee may make comments. If performance expectations are met, the employee remains on the regular review cycle. If performance expectations were not met, the Rater should consult with the Reviewer and the agency Human Resources/Personnel Office to determine the best course of action. NOTE: A Notice of Necessity to Improve is not usually provided to original probationary employees.

#### Special Appraisal

An employee may be placed on "Special Appraisal" status for performance reasons at any time following consultation with the agency Human Resources/Personnel office. When an employee has failed to meet the performance expectations outlined in a Notice of Necessity to Improve, the Rater should develop a corrective action plan to improve the employee's performance. That plan shall be presented to the employee who will have to acknowledge by initialing and dating the form. If performance has not improved during the Special Appraisal period, appropriate corrective action may result.

#### 60-day Window

When circumstances occur that would require an employee to be rated and a Performance Appraisal Score Form completed more often than at the annual rating in April, a new evaluation does not have to be completed if: (1) an evaluation was done within the last two months AND, (2) there has been no significant change in the employee's performance.

When this occurs, the supervisor meets with the employee only to indicate that the former ratings will stand because there has been no significant change in performance. This may be accomplished by either the completion of a Performance Appraisal Score Form with the ratings from the previous evaluation brought forward OR by memorandum, depending on the agency's established procedure. The new Performance Appraisal Score Form or memorandum covers the period from the last evaluation to the end of the current rating period so the employee has a score for all months during the year.

*Example: A supervisor's last date of employment with an agency is December 17, 1999. Prior to leaving the agency, the supervisor completes Close-out evaluations, including Performance Appraisal Score Forms, for all supervised employees. The evaluations run from July 1, 1999 through December 17, 1999. The end of the rating period for most employees would be January 31, 2000 (the review cycle has been adjusted from April 30 to January 31 due to the merit increase appropriated by the Legislature). In this example, the new supervisor does not need to do an additional evaluation for January 31 if the employees' performance has not changed, because evaluations were completed in the last two months. The supervisor would meet with the employees to advise them that the prior ratings will stand, complete Performance Appraisal Score Forms (or memoranda) for the period December 18, 1999 to January 31, 2000, and have the employees sign the forms or, if memoranda were prepared, provide copies to the employee and the employee's official personnel file.*

NOTE: The 60-day window only applies to an employee who has remained in the same job; it does not apply when an employee has moved to a new position with different responsibilities. Further, if an employee has had an evaluation in the last 60 days, but the employee's performance has changed and different ratings are warranted, a complete evaluation should be prepared.

## **IX. EMPLOYEE DISAGREEMENT**

The Employee may disagree with any rating or comment on any of the PASE documents used to evaluate the Employee.

An Employee may, on occasion, refuse to sign the PASE documents. Advise the Employee that his/her signature only “acknowledges” the receipt of a PASE, not agreement or disagreement with the appraisal. If the Employee still refuses to sign, have another individual (the Reviewer, another supervisor, or manager is recommended) witness to the Employee’s refusal to sign, note “Employee refused to sign” on the form(s), sign and date the document(s), and have the witness sign and date the documents as well. Forward the documents to the agency Human Resources/Personnel Office for processing and inclusion in the Employee’s official personnel file.

The Employee may indicate he/she disagrees with the appraisal and address his/her concerns in the “Employee Comments” sections of the PASE documents. However, merely signing the PASE “Disagree” does not initiate the grievance process. An employee who wishes to formally protest his/her appraisal must file a formal grievance in accordance with the agency’s accelerated grievance procedure, if one exists. Agencies should establish an internal process to ensure that modifications made to the appraisal, if any, are changed on the appropriate forms.

## **X. DISPOSITION OF FORMS**

All original Performance Appraisal Score Forms and all original Performance Standards forms shall be filed in the Employee’s official personnel file. A copy of the appraisal shall be provided to the Employee, typically by the Rater. NOTE: The Employee should have had an opportunity to review, comment, and sign the PASE documents prior to inclusion in the personnel file. PASE documents submitted without the Employee’s signature or a notation that the Employee was presented the documents and refused to sign (see Employee Disagreement, above) will not be filed in the Employee’s official personnel file.

## **XI. PASE TRAINING**

PASE training is provided by the Arizona Department of Administration Training Center and may also be available in your agency. Call your Agency Training Contact person for information on PASE training.